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PATENT # 6  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/885,817  
Filed: June 19, 2001  
Inventor(s):  
Shayne Young

§  
§ Examiner: Unknown  
§ Group/Art Unit: 2182  
§ Atty. Dkt. No: 5226-01600  
§

Title: METHODS AND  
SYSTEMS FOR  
IMPLEMENTING A  
FORWARD  
CONVERSION  
SECURITIES STRATEGY

<p>CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8 DATE OF DEPOSIT: 11-22-02 I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail on the date indicated above and is addressed to: Commissioner for Patents Washington, DC 20231  Jackie L. Pitts</p>
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INFORMATION DISCLOSURE STATEMENT

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Commissioner for Patents  
Washington, D.C. 20231

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Sir:

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 (references D1-D4) be considered by the Examiner and made of record. Copies of the listed documents are enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-01600/EBM.

Respectfully submitted,

Mark R. DeLuca  
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**Form PTO-1449** (modified)

List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01600

SERIAL NO: 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	D1	6,317,728 B1	11/13/01	Kane			
	D2	5,819,238	10/06/98	Fernholz			
	D3	5,640,505	06/17/97	Hearn et al.			

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**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.					

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EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.